



Application Serial No.	Filing Date	Status
08/223,905	April 6, 1994	Abandoned
08/132,172	October 6, 1993	Abandoned
07/969,948	October 20, 1992	Abandoned
07/846,659	March 4, 1992	Abandoned

I/We hereby declare that all statements made herein of my/our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

I/We hereby appoint the following attorneys and agents, with full power of substitution and revocation, to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith and request that all correspondence and telephone calls with respect to this application be directed to McCUTCHEN, DOYLE, BROWN & ENERSEN, LLP Three Embarcadero Center, San Francisco, California 94111, Telephone No. (415) 393-2000:

Attorney	Registration No.
Nina K. Srejovic	40,342
Michael Shuster	41,310
J. David Hadden	40,629
William E. Thomson, Jr.	20,719
Robert H. Lee	42,790
Emily M. Haliday	38,903
Richard Wawrzyniak	36,048
Carol M. Gruppi	37,341
Andrew Kumamoto	40,690

Full name of  
first inventor: Daniel Pinkel

Inventor's signature: \_\_\_\_\_ Date: \_\_\_\_\_

Residence and Post  
Office Address: Walnut Creek, California, U.S.A.  
31 Manzanita Court, Walnut Creek, California 94595, U.S.A.

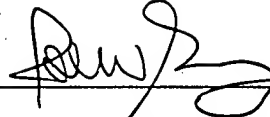
Citizenship: United States

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Full name of  
second inventor:

Joe W. Gray

Inventor's signature:



Date: 11/16/98

Residence and Post  
Office Address:

San Francisco, California, U.S.A.  
50 Santa Paula Avenue, San Francisco, California 94127, U.S.A.

Citizenship:

United States

Full name of  
third joint inventor:

Anne Kallioniemi

Inventor's signature:

Date: \_\_\_\_\_

Residence and Post  
Office Address:

Rockville, Maryland, U.S.A.  
1083 Grand Oak Way, Rockville, Maryland 20852

Citizenship:

Finland

Full name of  
fourth joint inventor:

Ollie-Pekka Kallioniemi

Inventor's signature:

Date: \_\_\_\_\_

Residence and Post  
Office Address:

Rockville, Maryland, U.S.A.  
1083 Grand Oak Way, Rockville, Maryland 20852

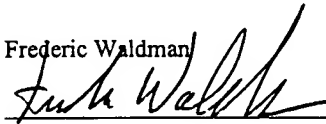
Citizenship:

Finland

Full name of  
fifth joint inventor:

Frederic Waldman

Inventor's signature:



Date: 11-13-98

Residence and Post  
Office Address:

San Francisco, California, U.S.A.  
206 Edgewood Avenue, San Francisco, California, U.S.A., 94117

Citizenship:

United States

104270-81821660

Full name of  
sixth joint inventor:

Masaru Sakamoto

Inventor's signature:

Date: \_\_\_\_\_

Residence and Post  
Office Address:

Tokyo, Japan  
1-8, Kanda Surugadai, Chiyoda-ku, Tokyo 101-0062, Japan

Citizenship:

Japan

104270-8782660

# DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

As [a] below named inventor(s), I/we hereby declare that:

My/our residence, post office address and citizenship is/are as stated below next to my/our name(s).

I/we believe I/we am/are an/the original, first and sole/joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:  
COMPARATIVE GENOMIC HYBRIDIZATION (CGH) the specification of which

\_\_\_\_\_ is attached hereto.

X was filed on November 27, 1997 as  
Application Serial Number 08/565,304  
and was amended on July 5, 1996, March 5, 1997, and April 13, 1998.

I/We hereby state that I/we have reviewed and understand the contents of the above-identified specification, including the claims as amended by any amendment referred to above.

I/We acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56(a).

I/We hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate, listed below and so identified, and I/we have also identified below any foreign application for patent or inventor's certificate on this invention filed by me/us or my/our legal representatives or assigns and having a filing date before that of the application on which priority is claimed.

Number	Country	Day/Month/ Year Filed	Priority Claimed - Yes or No

I/We hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I/we acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application.

Application Serial No.	Filing Date	Status
08/223,905	April 6, 1994	Abandoned
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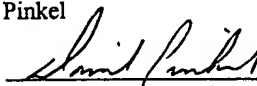
I/We hereby declare that all statements made herein of my/our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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Attorney	Registration No.
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Michael Shuster	41,310
J. David Hadden	40,629
William E. Thomson, Jr.	20,719
Robert H. Lee	42,790
Emily M. Haliday	38,903
Richard Wawrzyniak	36,048
Carol M. Gruppi	37,341
Andrew Kumamoto	40,690

Full name of  
first inventor: Daniel Pinkel

Inventor's signature:



Date: 11-13-98

Residence and Post  
Office Address:

Walnut Creek, California, U.S.A.  
31 Manzanita Court, Walnut Creek, California 94595, U.S.A.

Citizenship:

United States

Full name of  
second inventor: Joe W. Gray

Inventor's signature: \_\_\_\_\_ Date: \_\_\_\_\_

Residence and Post  
Office Address: San Francisco, California, U.S.A.  
50 Santa Paula Avenue, San Francisco, California 94127, U.S.A.

Citizenship: United States

Full name of  
third joint inventor: Anne Kallioniemi

Inventor's signature: Anne Kallioniemi Date: 11-25-98

Residence and Post  
Office Address: Rockville, Maryland, U.S.A.  
1083 Grand Oak Way, Rockville, Maryland 20852

Citizenship: Finland

Full name of  
fourth joint inventor: Ollie-Pekka Kallioniemi

Inventor's signature: [Signature] Date: 11-25-98

Residence and Post  
Office Address: Rockville, Maryland, U.S.A.  
1083 Grand Oak Way, Rockville, Maryland 20852

Citizenship: Finland

Full name of  
fifth joint inventor: Frederic Waldman

Inventor's signature: \_\_\_\_\_ Date: \_\_\_\_\_

Residence and Post  
Office Address: San Francisco, California, U.S.A.  
206 Edgewood Avenue, San Francisco, California, U.S.A., 94117


Citizenship: United States

COPY FROM PARENT

Full name of  
sixth joint inventor:

Masaru Sakamoto

Inventor's signature:



Date: November 17, 1998

Residence and Post  
Office Address:

Tokyo, Japan  
1-8, Kanda Surugadai, Chiyoda-ku, Tokyo 101-0062, Japan

Citizenship:

Japan

091338-072401



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I hereby certify that this correspondence is being  
deposited with the United States Postal Service  
first class mail in an envelope addressed to:  
Assistant Commissioner for Patents,  
Washington, D.C. 20231, on 4-27-01

LAW OFFICES OF JONATHAN ALAN QUINE

By

*Evelyn G. Smy*

Attorney Docket No. 407E-914025US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent/application of:

Patent No.:

Application No.: 09/311,835

Filed:

For: Comparative Genomic Hybridization  
(CGH)

APPOINTMENT OF ASSOCIATE  
ATTORNEY

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

I hereby appoint the attorneys and agents at Customer Number 22798 to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. The attorneys and agents at Customer Number 22798 include:

Jonathan Alan Quine, Ph.D., Reg. No. 41,261; Stacy Landry, Ph.D., Reg. No. 42,779; Christopher C. Sappenfield, Reg. No. 45,073; Gwynedd Warren, Reg. No. 45,200; Angela P. Horne, Reg. No. 41,079, Stephen J. LeBlanc, Reg. No. 36,579, Tom Hunter, Ph.D., Reg. No. 38,498, and Emily Haliday, Ph.D., Reg. No. 38,903.

09/311,835

Patent No.:

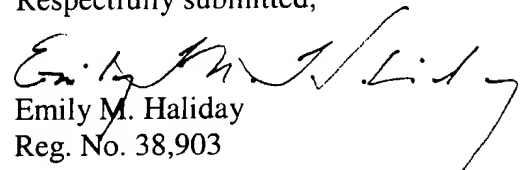
Application No.: 09/311,835

Page 2

Please direct all future correspondence regarding the subject application to  
CUSTOMER NUMBER 22798, that is:

LAW OFFICES OF JONATHAN ALAN QUINE  
P.O. BOX 458  
Alameda, CA 94501  
(510) 337-7871/Fax (510) 337-7877

Respectfully submitted,

  
Emily M. Haliday  
Reg. No. 38,903

LAW OFFICES OF JONATHAN ALAN QUINE  
P.O. BOX 458  
Alameda, CA 94501  
(510) 337-7871  
Fax (510) 337-7877

09/311,835-072401

ASSIGNMENTU.C. Case No. 92-005-3

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

- |                     |                           |
|---------------------|---------------------------|
| 1. Daniel Pinkel    | 2. Joe W. Gray            |
| 3. Anne Kallioniemi | 4. Olli-Pekka Kallioniemi |
| 5. Frederic Waldman | 6. Masaru Sakamoto        |

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 300 Lakeside Drive, 22nd Fl., Oakland, CA 94612-3550, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

COMPARATIVE GENOMIC HYBRIDIZATION (CGH)

and which is found in

- (a) \_\_\_\_\_ U.S. patent application executed on \_\_\_\_\_, entitled as above and listing the above named persons as inventors
- (b) ☒ U.S. application serial no. 08/223,905, filed on April 6, 1994
- (c) \_\_\_\_\_ U.S. Patent No.: \_\_\_\_\_, issued \_\_\_\_\_

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

09912818-072401

REEL 7180 FRAME 837

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

15 day of July, 1994

15 day of July, 1994

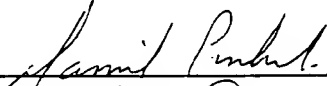
15 day of July, 1994


\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_

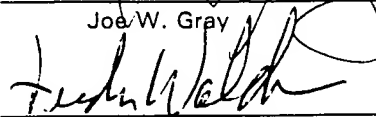
\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_

\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_

Signature of Inventor(s)

  
Daniel Pinkel

  
Joe W. Gray

  
Frederic Waldman

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

Signature of Inventor(s)

19<sup>th</sup> day of July, 1994

Anne Kallioniemi  
Anne Kallioniemi

15<sup>th</sup> day of July, 1994

Olli-Pekka Kallioniemi  
Olli-Pekka Kallioniemi

\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_

\_\_\_\_\_

\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_

\_\_\_\_\_

\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_

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\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_

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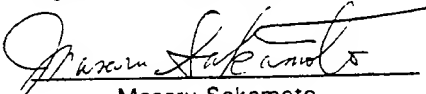
REEL 7180 FRAME 839

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

22<sup>nd</sup> day of July, 1994

Signature of Inventor(s)

  
Masaru Sakamoto

\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_

\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_

\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_

\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_

\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_

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PATENT & TRADEMARK OFFICE

AUG 10 94



DATE: 11/29/94  
TO:

N01B

R. DANNY HUNTINGTON, ESQ.  
BURNS, DOANE, SWECKER & MATHIS  
POST OFFICE BOX 1404  
ALEXANDRIA, VA 22313-1404

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UNITED STATES PATENT AND TRADEMARK OFFICE  
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THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT BRANCH OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE U.S. PATENT AND TRADEMARK OFFICE ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT ASSIGNMENT PROCESSING SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT BRANCH, NORTH TOWER BUILDING, SUITE 10C35, WASHINGTON, D.C. 20231

ASSIGNOR:  
PINKEL, DANIEL

DOC DATE: 07/15/94

ASSIGNOR:  
GRAY, JOE W.

DOC DATE: 07/15/94

ASSIGNOR:  
KALLIONIEMI, ANNE

DOC DATE: 07/19/94

ASSIGNOR:  
KALLIONIEMI, OLLI-PEKKA

DOC DATE: 07/19/94

ASSIGNOR:  
WALDMAN, FREDERIC

DOC DATE: 07/15/94

ASSIGNOR:  
SAKAMOTO, MASARU

DOC DATE: 07/22/94

RECORDATION DATE: 08/10/94    NUMBER OF PAGES 005    REEL/FRAME 7180/0836

DIGEST : ASSIGNMENT OF ASSIGNORS INTEREST

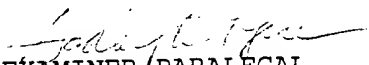
ASSIGNEE:  
REGENTS OF THE UNIVERSITY OF CALIFORNIA, THE  
300 LAKESIDE DRIVE  
22ND FLOOR  
OAKLAND, CA 94612-3550

028723-046  
Univ. of Calif  
RDH/DMM

7180/0836 PAGE 0002

SERIAL NUMBER 8-223905  
PATENT NUMBER

FILING DATE 04/06/94  
ISSUE DATE 00/00/00

  
EXAMINER/PARALEGAL  
ASSIGNMENT BRANCH  
ASSIGNMENT/CERTIFICATION SERVICES DIVISION

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FORM PTO-1595  
(Rev. 6/93)

RECORDATION FORM COVER SHEET  
APPLICATIONS IN DIVISION  
PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Attorney Docket No. 028723-046

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Daniel Pinkel, Joe W. Gray, Anne Kallioniemi,  
Olli-Pekka Kallioniemi, Frederic Waldman and  
Masaru Sakamoto

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name

Other: \_\_\_\_\_

Execution Dates: 7/15/94; 7/19/94 and 7/22/94

2. Name and address of receiving party(ies):

Name: The Regents of the University of California

Address: 300 Lakeside Drive

22nd Floor

Oakland, California 94612-3550

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)

08/223,905

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: R. Danny Huntington, Esq.

Address: Burns, Doane, Swecker & Mathis

Post Office Box 1404

Alexandria, Virginia 22313-1404

6. Total number of applications and patents involved: one

7. Total fee (37 CFR 3.41): \$40.00

☒ Enclosed

☒ Authorized to be charged to deposit account, if necessary

8. Deposit account number:

02-4800

(Attach duplicate copy of this page if paying by deposit account)

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Donna M. Meuth  
Name of Person Signing

Donna M. Meuth  
Signature

August 10 1994  
Date

Total number of pages including cover sheet, attachments, and document: 5

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks  
Box Assignments  
Washington, D.C. 20231